

UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

08/25/99 09/383114
Pocket No. : 35687/RWJ/H29
Inventor(s) : John A. Arcadi
Title : COMPOSITION AND METHOD FOR TREATING PROSTATE CANCER
Express Mail Label No. : EL368760025US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

Date: August 25, 1999

1. ☒ **FEE TRANSMITTAL FORM** (Submit an original, and a duplicate for fee processing).

2. **IF A CONTINUING APPLICATION**

☒ This application is a continuation-in-part of patent Application No. 08/816,411, filed March 13, 1997, which is a continuation of Application No. 08/516,004, filed August 16, 1995, abandoned.

— This application claims priority pursuant to 35 U.S.C. §119(e) and 37 CFR §1.78(a)(4), to provisional Application No. .

3. **APPLICATION COMPRISED OF**

Specification

21 Specification, claims and Abstract (total pages)

Drawings

9 Sheets of drawing(s) (FIGS. 1 to 11)

Declaration and Power of Attorney

— Newly executed

☒ No executed declaration

— Copy from a prior application (37 CFR 1.63(d))(for continuation and divisional)

4. — **Microfiche Computer Program** (Appendix)

5. — **Nucleotide and/or Amino Acid Sequence Submission** (if applicable, all necessary)

— Computer Readable Copy

— Paper Copy (identical to computer copy)

— Statement verifying identity of above copies

6. **ALSO ENCLOSED ARE**

— Preliminary Amendment

☒ A Petition for Extension of Time for the parent application and the required fee are enclosed as separate papers

☒ Two Small Entity Statements

— Statement filed in parent application, status still proper and desired

— Copy of Statement filed in provisional application, status still proper and desired

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Docket No.: 35687/RWJ/H29

- _____ An Assignment of the invention with the Recordation Cover Sheet and the recordation fee are enclosed as separate papers
- _____ This application is owned by pursuant to an Assignment recorded at Reel , Frame
- _____ Information Disclosure Statement (IDS)/PTO-1449
- _____ Copies of IDS Citations
- _____ Certified copy of Priority Document(s) (*if foreign priority is claimed*)
- _____ English Translation Document (*if applicable*)
- X Return Receipt Postcard (MPEP 503) (should be specifically itemized).
- _____ Other

7. CORRESPONDENCE ADDRESS

CHRISTIE, PARKER & HALE, LLP, P.O. BOX 7068, PASADENA, CA 91109-7068

Respectfully submitted,

CHRISTIE, PARKER & HALE, LLP

By *R. William Johnston*
R. William Johnston
Reg. No. 17,968
626/795-9900

RWJ/cls

Docket No. : 35687/RWJ/H29
Applicant or Patentee : John A. Arcadi
Application or Patent No. : Not yet assigned
Filed or Issued : On even date herewith
Entitled : COMPOSITION AND METHOD FOR TREATING
PROSTATE CANCER

CHRISTIE, PARKER & HALE, LLP
Post Office Box 7068
Pasadena, CA 91109-7068
(626) 795-9900

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR § 1.9(f) and § 1.27(b))
INDEPENDENT INVENTOR**

As a below-named inventor, I declare that I qualify as an independent inventor as defined in 37 CFR § 1.9(c) for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled **COMPOSITION AND METHOD FOR TREATING PROSTATE CANCER** described in

 X the specification filed herewith.
 Application No. filed
 Patent No. issued

I have not assigned, granted, conveyed or licensed, and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed, or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below.

 No such person, concern or organization.
 X Persons, concerns or organizations listed below. (NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. 37 CFR § 1.27)

NAME : HUNTINGTON MEDICAL RESEARCH INSTITUTES
ADDRESS : 734 Fairmount Avenue, Pasadena, California 91105
 INDIVIDUAL SMALL BUSINESS CONCERN X NONPROFIT ORGANIZATION

NAME :
ADDRESS :
 INDIVIDUAL SMALL BUSINESS CONCERN NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b))

I declare that all statements made herein of my own knowledge are true and that all statements made on

Docket No.: 35687/RWJ/H29

Date _____

SECRET

Docket No. : 35687/RWJ/H29
Applicant or Patentee : John A. Arcadi
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Entitled : COMPOSITION AND METHOD FOR TREATING
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CHRISTIE, PARKER & HALE, LLP
Post Office Box 7068
Pasadena, CA 91109-7068
(626) 795-9900

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37) CFR 1.9(f) & 1.27(d) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION : HUNTINGTON MEDICAL RESEARCH INSTITUTES

ADDRESS OF NONPROFIT ORGANIZATION : 734 Fairmount Avenue, Pasadena, California 91105

TYPE OF NONPROFIT ORGANIZATION

☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
☒ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE: California); (CITATION OF STATUTE:)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA.
(NAME OF STATE:); (CITATION OF STATUTE:)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention entitled **COMPOSITION AND METHOD FOR TREATING PROSTATE CANCER** by inventor(s) **John A. Arcadi** described in:

☒ the specification filed herewith
☐ Application No. filed
☐ Patent No. issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME :
ADDRESS :
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37) CFR 1.9(f) & 1.27(d) - NONPROFIT ORGANIZATION**

Docket No.: 35687/RWJ/H29

NAME :
ADDRESS :

____ INDIVIDUAL ____ SMALL BUSINESS CONCERN ____ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING : William A. Opel
TITLE IN ORGANIZATION OF PERSON SIGNING : Executive Director
ADDRESS OF PERSON SIGNING : 734 Fairmount Avenue
Pasadena, California 91105

SIGNATURE _____ DATE _____

RWJ/cls
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